

PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau



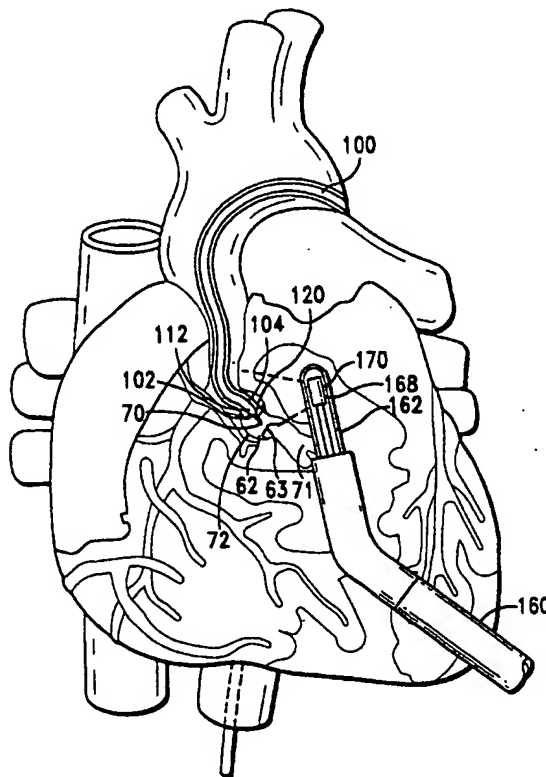
INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification 6 : A61B 17/22, 8/12		A1	(11) International Publication Number: WO 99/35977
			(43) International Publication Date: 22 July 1999 (22.07.99)
(21) International Application Number: PCT/US98/26932		(74) Agent: ENG, U., P., Peter; Wilson Sonsini Goodrich & Rosati, 650 Page Mill Road, Palo Alto, CA 94304-1050 (US).	
(22) International Filing Date: 18 December 1998 (18.12.98)			
(30) Priority Data: 09/008,033 16 January 1998 (16.01.98) US		(81) Designated States: AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).	
(63) Related by Continuation (CON) or Continuation-in-Part (CIP) to Earlier Application US 09/008,033 (CON) Filed on 16 January 1998 (16.01.98)		Published With international search report.	
(71) Applicant (for all designated States except US): LUMEND, INC. [US/US]; 400 Chesapeake Drive, Redwood City, CA 94063 (US).			
(72) Inventors; and (75) Inventors/Applicants (for US only): SELMON, Matthew, R. [US/US]; 675 Mountain Home Road, Woodside, CA 94062 (US). VETTER, James, W. [US/US]; 117 Solana Road, Portola Valley, CA 94028 (US). HINOHARA, Tomoaki [JP/US]; 40 Los Charros Lane, Portola Valley, CA 94028 (US). MILO, Charles, F. [US/US]; 32407 Monterey Drive, Union City, CA 94587 (US).			

(54) Title: CATHETER APPARATUS FOR TREATING ARTERIAL OCCLUSIONS

(57) Abstract

An apparatus is described for treating arterial occlusions combining an intraluminally operable catheter, having an occlusion-crossing working element, with a micro-invasive extraluminally operable locator for imaging the progress of the working element through the occlusion. Conical, abrasive, blunt-dissecting, and sharp-pointed, and steering and non-steering working elements including guide wires are described. Acoustic transducers and a flexible imaging tube are described for the locator. A suction cup is described for removably anchoring the imaging tube to a surface. A signal-emitting working element and cooperating signal-receiving locator are described. A method for treating arterial occlusions is described.



**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece			TR	Turkey
BG	Bulgaria	HU	Hungary	ML	Mali	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MN	Mongolia	UA	Ukraine
BR	Brazil	IL	Israel	MR	Mauritania	UG	Uganda
BY	Belarus	IS	Iceland	MW	Malawi	US	United States of America
CA	Canada	IT	Italy	MX	Mexico	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NE	Niger	VN	Viet Nam
CG	Congo	KE	Kenya	NL	Netherlands	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NO	Norway	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	NZ	New Zealand		
CM	Cameroon	KR	Republic of Korea	PL	Poland		
CN	China	KZ	Kazakhstan	PT	Portugal		
CU	Cuba	LC	Saint Lucia	RO	Romania		
CZ	Czech Republic	LI	Liechtenstein	RU	Russian Federation		
DE	Germany	LK	Sri Lanka	SD	Sudan		
DK	Denmark	LR	Liberia	SE	Sweden		
EE	Estonia			SG	Singapore		

## CATHETER APPARATUS FOR TREATING ARTERIAL OCCLUSIONS

Field of the Invention:

This invention relates generally to catheters and more particularly to catheter apparatus for treating arterial occlusions. The invention relates especially to the combination of an intraluminally operable atheroma-  
5 penetrating catheter device with an extraluminally operable imaging device to restore blood flow in an occluded coronary artery.

Background:

Atherosclerosis is a disease in which the lumen (interior passage) of an artery becomes stenosed (narrowed) or even totally occluded (blocked) by an  
10 accumulation of fibrous, fatty, or calcified tissue. Over time this tissue, known in medicine as an atheroma, hardens and blocks the artery. In the coronary arteries, which supply the heart muscle, this process leads to ischemia (deficient blood flow) of the heart muscle, angina (chest pain), and, eventually, infarction (heart attack) and death. Although drug therapies and modifications to diet and  
15 lifestyle show great promise for preventing and treating atherosclerotic vascular disease, many patients urgently require restoration of blood flow that has already been lost, especially in those having severely or totally occluded blood vessels. Unfortunately, the demand for surgical treatment of disabling and life-threatening coronary artery disease will likely increase in the decades ahead.

20 It has been common surgical practice to treat severe coronary artery disease by performing a coronary bypass, in which a segment of the patient's saphenous vein (taken from the leg) is grafted onto the artery at points upstream and downstream of the stenosis. The bypass often provides dramatic relief. However, this procedure involves not only dangerous open chest surgery, but  
25 also an operation on the patient's leg to obtain the segment of saphenous vein that is used for the bypass. Additionally, there is a long, often complicated and painful, convalescence before the patient is healed. Moreover, within a few years, the underlying disease may invade the bypass graft as well. The bypass can be repeated, but at ever greater peril and expense to the patient.

30 Fortunately, for patients with moderate stenosis, a less traumatic operation is available. A typical mechanical device for such operations is a thin,

flexible, tubular device called a catheter. Through a small, conveniently located puncture, the catheter is introduced into a major artery, typically a femoral artery. Under fluoroscopic observation, the catheter is advanced and steered through the arterial system until it enters the stenosed region. At the distal (tip) end of the catheter, a balloon, cutter, or other device dilates the stenosed lumen or removes atheromatous tissue.

Cardiac catheterization procedures for treating stenoses include percutaneous transluminal coronary angioplasty (PTCA), directional coronary atherectomy (DCA), and stenting. PTCA employs a balloon to dilate the stenosis. A steerable guide wire is inserted into and through the stenosis. Next, a balloon-tipped angioplasty catheter is advanced over the guide wire to the stenosis. The balloon is inflated, separating or fracturing the atheroma. Ideally, the lumen will remain patent for a long time. Sometimes, however, it will restenose.

In directional coronary atherectomy, a catheter, containing a cutter housed in its distal end, is advanced over the guide wire into the stenosis. The housing is urged against the atheroma by the inflation of a balloon. Part of the atheroma intrudes through a window in the housing and is shaved away by the cutter.

Stenting is a procedure in which a wire or tubular framework, known as a stent, is compressed onto a balloon catheter and advanced over the guide wire to the stenosis. The balloon is inflated, expanding the stent. Ideally, the stent will hold the arterial lumen open for a prolonged period during which the lumen will remodel itself to a healthy, smooth configuration. Stents are often placed immediately following PTCA or DCA.

It must be noted, however, that a severe stenosis may be untreatable by stenting, DCA, or PTCA. The catheters used in these operations are advanced to their target over a guide wire which has already crossed the stenosis. Most guide wires, however, are too slender and soft-tipped to penetrate the calcified tissue of a total occlusion. Additionally, most guide wires have a bent steering tip which is easily trapped or diverted by the complex, hard tissues often found

in a severe stenosis. Without a guide wire to follow, neither PTCA nor DCA nor stenting is feasible and the interventionist may have to refer the patient to bypass surgery. Additionally, degeneration makes a saphenous vein graft a risky and therefore undesirable site of intervention.

5           Thus, many patients would benefit from a less traumatic alternative to bypass surgery for restoring circulation in severely stenosed or totally occluded coronary arteries. In particular, interventionists need to do what has so far been difficult or impossible: safely forge a path of low mechanical resistance through the tough, complex tissues of the severely or totally occlusive atheroma so that  
10           blood flow can be restored. Instruments have been developed which can penetrate even a total occlusion. However, such a device must make its way through the occlusion without accidentally perforating the artery. Severe dissections and cardiac tamponade can easily result when an unguided working element is diverted by the heterogeneous tissues of the occlusion. What is needed is a way  
15           of reliably guiding a working element through the atheromatous tissue. Once a path is made for a guide wire or catheter to follow, a stent can be installed or DCA or PTCA can be performed. However, reliable guidance is needed in order to open this path safely.

          One guidance system used in coronary catheterization is fluoroscopy, a  
20           real-time X-ray technique which is widely used to position devices within the vascular system of a patient. For visualizing a totally occluded artery, biplane fluoroscopy can be used wherein the interventionist observes two real-time x-ray images acquired from different angles. Biplane fluoroscopy, however, is unreliable, costly and slow.

25           Another way of imaging the coronary arteries and surrounding tissues is intravascular ultrasound, which employs an ultrasonic transducer in the distal end of a catheter. The catheter may be equipped with an ultraminiature, very high frequency scanning ultrasonic transducer designed to be introduced into the lumen of the diseased artery. Frustratingly, however, the stenosis is often so  
30           severe that the transducer will not fit into the part that the interventionist most urgently needs to explore. Indeed, if the occlusion is too severe to be crossed by

a guide wire, it may be too difficult to steer the transducer into the segment of greatest interest. Additionally, an attempt to force an imaging catheter into a severely stenosed artery may have undesirable consequences. Alternatively, the intravascular ultrasonic catheter can be placed in a vein adjacent the occluded artery. Because venous lumina are slightly broader than arterial lumina and rarely if ever stenosed, a larger transducer may be employed. Depending on its configuration, a larger transducer may acquire images over greater distances, with finer resolution, or both. However, there is not always a vein properly situated for such imaging.

While superior imaging alone is of diagnostic interest, imaging and guidance for effective intervention for severe occlusive arterial disease is what is truly desired. A reliable imaging technique is needed for discerning precisely the relative positions of a therapeutic working element, the atheromatous tissues of the occlusion and the arterial lumen proximal and distal to the occlusion as the working element is operated to cross the occlusion.

What is needed is an effective combination of a working element and an imaging system for crossing severe or total occlusions without severely dissecting the artery wall and without causing cardiac tamponade. In particular, such a combination is desired which continuously displays a stable image of the artery, the atheroma and the working element as the interventionist urges the working element through the stenosis. What is especially needed is such a combination which is deliverable and operable with minimal trauma to the patient.

### SUMMARY OF THE INVENTION

It is an object of the present invention to treat arterial occlusions by minimally invasive means and, more particularly, to open a path of low mechanical resistance through the atheromatous tissues of the severely or totally occluded artery without severely dissecting the arterial wall and without causing cardiac tamponade, so that a guide wire or PTCA or DCA catheter can be placed across the occlusion.

It is an additional object of the present invention to provide a combination of an effective occlusion-crossing working element and a system for continuously displaying a stable real-time image of an artery, the arterial lumen, the atheromatous tissues therein, and the working element itself, to effectively guide the crossing element through the occlusion.

It is an additional object of the present invention to provide a combination of a catheter shaft, including a steerable intraluminally operable working element, and a locator for guiding the working element, the locator including an extraluminally operable imaging device. It is a related object of the present invention to position the locator proximate the occluded coronary artery through a small incision in the patient's chest.

It is an additional object of the present invention to provide such a combination in which the imaging device can be stabilized with respect to the surface of a beating heart while the imaging and operation are accomplished.

It is an additional object of the present invention to provide such a combination having the capability of precisely selecting the point where the working element enters the tissues of the occlusion. It is a related object of the present invention to provide such a combination with the capability of enlarging the path so opened, so that the catheter shaft itself, or other devices of diameter substantially larger than that of a mere guide wire, may be placed in that path.

In accordance with the above objects and those that will be mentioned and will become apparent below, an apparatus for treating arterial occlusions in accordance with the present invention comprises:

an elongated flexible catheter shaft having a distal end zone and an intra-arterially operable working element disposed in the distal end zone; and

an extra-arterially operable locator including an imaging tube and an imaging device operatively disposed in the imaging tube,

5 whereby the locator is positioned proximate the arterial occlusion and guides the working element for effective treatment of the occlusion.

An exemplary embodiment of the catheter apparatus according to the present invention includes a steering member including a plurality of steering wires disposed in the catheter shaft. The steering wires are fixed in the distal  
10 end zone of the catheter shaft, optionally attached to a retaining ring therein and, also optionally, confined in braided tubes for preventing mechanical interference, and are manipulable from the proximal end of the catheter shaft. The steering wires provide the apparatus of the present invention with the ability to steer the distal end of the catheter shaft, and thus the working element, by  
15 applying unequal tension to different steering wires.

Another exemplary embodiment of the catheter apparatus according to the present invention includes a plurality of rigid tubes confining the steering wires. The rigid tubes have distal ends some distance proximal to the distal  
20 ends of the steering wires, thereby increasing the flexibility of the intervening segment of the distal end zone of the catheter shaft.

Another exemplary embodiment of the catheter apparatus according to the present invention includes a working element including a pointed tissue-penetrating wire for crossing an occlusion and for penetrating arteries, veins, and interstitial tissues. This provides the apparatus of the present invention with  
25 the ability to precisely select the point of entry of the working element into the vascular, interstitial or atheromatous tissue that is to be penetrated.

Another exemplary embodiment of the catheter apparatus according to the present invention includes a working element including a rotatable motor-driven inner shaft having a tissue-penetrating point and an abrasive-coated nose  
30 cone. This provides the apparatus of the present invention with the ability to



leave behind an enlarged path through an atheroma or other tissue after the working element is withdrawn.

Another exemplary embodiment of the catheter apparatus according to the present invention includes a working element including a steerable metal nose cone, disposed on the distal end of the catheter shaft, for urging the catheter shaft itself through tissues. This provides the apparatus of the present invention with the ability to leave behind an enlarged path after the working element is withdrawn and to position the catheter shaft itself in the path made by the nose cone as that path is created.

Another exemplary embodiment of the catheter apparatus according to the present invention includes a working element including a plurality of slots partially circumscribing the distal end zone of the catheter shaft. This provides the apparatus of the present invention with the ability to deflect the distal end of the catheter shaft with only a gentle force supplied by the steering member, while preserving the axial incompressibility of the catheter shaft and so its suitability for pushing the distal end against and through an occlusion.

Another exemplary embodiment of the catheter apparatus according to the present invention includes a working element including an inner shaft disposed in a lumen of the catheter shaft, a nose cone disposed on the distal end of the inner shaft, and a gap between the proximal end of the nose cone and the distal end of the catheter shaft, the gap being spanned by a pair of wires. As the catheter shaft is urged through an occlusion or other tissues and the inner shaft is forced backward into the lumen, the wires bow outward to blunt-dissect the tissues. This applies increased blunt dissecting force to the tissues as the nose cone encounters greater resistance.

Another exemplary embodiment of the catheter apparatus according to the present invention includes a working element which emits a signal, and a locator which detects the signal emitted by the working element, whereby a spatial relationship between the working element and the locator is discernible. This provides the apparatus of the present invention with the ability to readily locate the working element.

Another exemplary embodiment of the catheter apparatus according to the present invention includes an extravascularly operable imaging tube having a distal end zone defining a surface including a suction cup for adhesion to a beating heart. This provides the apparatus of the present invention with the ability to stabilize the imaging device with respect to the blood vessels and occlusion.

Another exemplary embodiment of the catheter apparatus according to the present invention includes an acoustic transducer affixed to a transducer control shaft disposed in a lumen of the imaging tube. The control shaft is mechanically manipulable by external control apparatus. The transducer is operatively coupled to external signal generating and processing apparatus for displaying an image. This provides the apparatus of the present invention with the ability to display a scanning ultrasound image of the catheter shaft, working element, occlusion, and surrounding vascular and interstitial tissues as the operation is performed.

Also in accordance with the above objects and those that will be mentioned and will become apparent below, a method for treating an arterial occlusion in a human or animal body comprises the steps of:

providing an apparatus for treating an arterial occlusion, the apparatus comprising:

an elongated flexible catheter shaft having a distal end zone and an intra-arterially operable working element disposed in the distal end zone; and

an extraluminally operable locator including an imaging tube and an imaging device operatively disposed in the imaging tube,

introducing the catheter shaft into the arterial system and placing the distal end of the catheter shaft in the lumen of a coronary artery proximate an occlusion;

introducing the locator into the chest cavity, placing the distal end of the locator adjacent the artery proximate the occlusion, and activating the locator;

operating the working element of the catheter shaft to cross the occlusion while observing the spatial relationships of the working element, the occlusion and the surrounding tissues,

5                   whereby the locator, catheter shaft and working element are positioned proximate the occlusion and the working element is operated to cross the occlusion, while the locator reveals the anatomical location and orientation of the working element to accomplish the effective manipulation of the working element.

10                  In an exemplary embodiment of the method according to the present invention, the catheter shaft includes a steering member and the method includes the step of operating the steering member to steer the working element when treating the occlusion.

15                  An advantage of the present invention is that it permits the use of cardiac catheterization techniques for restoring blood flow to totally occluded coronary arteries previously inaccessible to those techniques. A related advantage is that patients can enjoy relief from cardiac ischemia while avoiding the trauma of coronary bypass surgery. Another related advantage is that the native artery can be preserved and, with it, the artery's superior blood-carrying characteristics and ability to withstand repeated intervention.

20                  An additional advantage of the present invention is the ability to guide a penetrating element through atheromatous tissues of a totally occluded artery without perforating the arterial wall. A related advantage is that access is safely provided for a guide wire or other catheter device across a site of total occlusion.

25                  An additional advantage of the present invention is the provision of a stable, real-time image both of the arterial anatomy and of the working element that is being guided therein, allowing accurate determination of the direction and distance from the penetrating element to a point of reentry into the natural arterial lumen beyond the occlusive lesion.

30                  An additional advantage of the present invention is the effectively micro-invasive intra-pericardial delivery of the guidance system to the vicinity

of the occlusion, requiring only a small, minimally traumatic incision in the patient's chest.

5 An additional advantage of the present invention is the provision of a scanning ultrasound image of the catheter shaft and its anatomical environment from an imaging device which is stabilized on the surface of a beating heart. Thus, it is easier to visualize important spatial relationships while manipulating the catheter shaft and working element.

10 An additional advantage of the present invention is that the working element and the distal end of the catheter shaft can be steered, the catheter shaft pushed, pulled or twisted, and the working element operated according to its particular design, all while the effect of these actions is immediately and continuously observable via the locator.

15 An additional advantage of the present invention is that the catheter shaft may be provided with a highly flexible distal end zone for precise maneuvering to exploit high resolution imaging available from the extravascularly operable locator.

### Brief Description of the Drawings

For a further understanding of the objects and advantages of the present invention, reference should be had to the following detailed description, taken in conjunction with the accompanying drawings, in which like parts are given like reference numerals and wherein:

Fig. 1 illustrates an exemplary embodiment of the apparatus for treating arterial occlusions in accordance with the present invention placed proximate a total coronary artery occlusion.

Fig. 2 is an enlarged view of the exemplary embodiment of Fig. 1 placed proximate a total arterial occlusion.

Fig. 3 is an enlarged side view of an exemplary embodiment of the apparatus showing a catheter shaft according to the present invention.

Fig. 4 is an enlarged side view of an exemplary embodiment of the apparatus showing a locator according to the present invention.

Fig. 5 is an enlarged side view of an exemplary embodiment of an apparatus according to the present invention showing a catheter shaft including rings and slots in the distal end zone of the catheter shaft.

Fig. 6 is an enlarged side view of an exemplary embodiment of an apparatus according to the present invention showing a catheter shaft including a rotatable abrasive nose cone.

Fig. 7 is a side view of an exemplary embodiment of an apparatus according to the present invention showing a catheter shaft including a pair of blunt-dissecting wires.

Fig. 8 is a side view of an exemplary embodiment of an apparatus according to the present invention showing a catheter shaft including a pair of blunt-dissecting wires, the wires in a bowed position.

Fig. 9 is an enlarged side view of an exemplary embodiment of an apparatus according to the present invention showing a locator including a plurality of suction cups.

Fig. 10 is an enlarged sectional view of an exemplary embodiment of an apparatus according to the present invention showing a locator including a plurality of suction cups.

Fig. 11 is an enlarged side view of an exemplary embodiment of an apparatus according to the present invention showing the structure of a catheter shaft including a signal-emitting working element.

#### Detailed Description of the Invention

The invention is now described particularly with reference to a coronary artery having a severe or total occlusion. As illustrated in Fig. 1, an exemplary embodiment of an apparatus in accordance with the present invention is shown placed proximate the occlusion 62 in a coronary artery 60. The apparatus embodies a combination of two devices which cooperate to safely bypass the occlusion 62. The first device is an intraluminally operable catheter shaft 100 including a distal end zone 104 having a working element 102 for bypassing the occlusion 62. The second device of the combination is an extraluminally operable locator 160 for locating the working element 102 with respect to the arterial lumen, the arterial wall and the tissues and boundaries of the occlusion 62. The locator 160 includes an imaging tube 162 which is introduced through a small incision (not shown) in the patient's chest and is positioned in the chest cavity adjacent the heart and proximate the occlusion 62.

Continuing with reference to Fig 1 and now also to Fig. 2, the imaging tube 162 is introduced through an incision (not shown) which need only be large enough to slip the imaging tube 162 into the patient's chest. The imaging tube is introduced, for example, by thoracotomy, thoracoscopy or sub-xyphoid access, is passed through a puncture in the pericardium, and is advanced until it is adjacent the surface of the heart. The external imaging instruments (not shown) of the locator 160 are then activated to display an ultrasound image.

Referring now to Fig. 2, the locator and catheter shaft are operated simultaneously to safely guide and steer the working element of the catheter shaft through the occlusion. Using standard cardiac catheterization techniques, the catheter shaft 100 is introduced through a puncture incision (not shown) into

a major artery (not shown) and is advanced and guided intraluminally into an arterial branch which serves a portion of the heart. The distal end zone 104 of the catheter shaft 100 is positioned within the artery lumen and proximal to (upstream of) the total occlusion 62. The locator 160 is stabilized adjacent the heart and activated to provide an image from a vantage point close to the occluded artery 60 but outside the arterial lumen 71. It will be appreciated that because only small punctures or incisions are needed in order for the catheter shaft 100 and locator 160 to reach the operation site, the patient can expect a comfortable, uncomplicated recovery. With the present method there is no need to saw through the patient's sternum or rib cage.

Referring now to Figs. 2 and 3, the catheter shaft 100 and locator 160 are positionable with minimal trauma in the proximity of the occlusion 62 and are simultaneously operable to open a path through the occlusion 62. The elongated flexible catheter shaft 100 (greatly shortened in Fig. 3) includes a steerable distal end zone 104 and a working element 102 which is carried into the proximity of the occlusion 62 by the distal end zone 104. The proximal end zone (not shown) of the catheter shaft 100 is connectable to external apparatus (not shown) for manipulating the catheter shaft 100 and working element 102. The locator 160 includes an imaging tube 162 for placement of the imaging device 168 proximate the occluded artery 60. The imaging tube 162 includes a proximal end zone (not shown) connectable to external imaging instruments (not shown). The locator 160 also includes an imaging device 168 which is locatable extraluminally near the occlusion 62 and is operatively coupled to the external imaging instruments.

Referring again to Fig. 3, the catheter shaft 100 includes a proximal end 110 connectable to external apparatus (not shown), a distal end zone 104 including a distal end 112, and at least one lumen 114 therebetween. A working element 102 for penetrating tissues is disposed in the distal end zone 104. A steering member 122 is disposed in the distal end zone 104 for directing the working element 102 at and through the occlusion (not shown).

Continuing with respect to Fig. 3, the steering member 122 includes a plurality of steering wires 124 slidably disposed in the catheter shaft 100. The steering wires 124 have proximal ends 126 manipulable from the proximal end 110 of the catheter shaft 100 and distal ends 128 fixed in the distal end zone 104 of the catheter shaft 100. Optionally, braid-reinforced tubes 130 slidably confine the wires 124 to prevent the wires 124 from interfering with other parts of the catheter shaft 100. Also optionally, the steering wires 124 may be affixed to a retaining ring 132 disposed in the distal end zone 104 of the catheter shaft 100. Also optionally, rigid tubes 136 may be disposed about braid-reinforced tubes 130, the rigid tubes 136 having distal ends 138 some distance proximal to the distal ends 128 of the steering wires 124. Between the distal ends 138 of the rigid tubes 136 and the distal end 112 of the catheter shaft 100, the absence of the rigid tubes 136 increases the flexibility of the distal end zone 104 to facilitate steering.

As can be seen from Fig. 3, unequal tension on the steering wires 124 will deflect the distal end zone 104 of the catheter shaft 100 toward a wire 124 having greater tension. It can also be appreciated that, for example, the distal ends 128 of four steering wires 124 may be fixed in the distal end zone 104 of the catheter shaft 100 at ninety degree intervals about the longitudinal axis of the catheter shaft 100, with the result that the distal end 112 of the catheter shaft 100 can be deflected in two dimensions somewhat independently by manipulating the steering wires 124 in combination.

Continuing still with reference to Fig. 3, the working element 102 is steered by deflecting the distal end zone 104 of the catheter shaft 100. Because the working element 102 is carried in the distal end zone 104, the distal end zone 104 will impart to the working element 102 the deflection imparted to the distal end zone 104 by the steering member 122. In conjunction with the guidance provided by the locator 160 (discussed in detail below), this deflection enables an operator of the present invention to guide the working element 102 along a chosen path into and through the occlusion.



Although the embodiment described includes the steering member, a catheter or working element without a discrete steering member and a catheter or working element without a steering function are also within the scope and spirit of the present invention. For example, the apparatus may include a guide wire and the guide wire may include a deflected distal end which functions to steer the guide wire. Likewise, the introduction of a working element into a vascular system and the operation thereof to treat an occlusion without the specific step of steering the working element during treatment is also within the scope and spirit of the method according to the present invention.

The present invention can incorporate a wide variety of working elements. For example, a blunt-dissecting working element of the kind described in copending United States Patent Application No. 08/775,264, filed February 28, 1997, the entire disclosure of which is incorporated herein by reference, may be used.

Continuing with reference to Fig. 3, an exemplary embodiment of the present invention is shown in which the working element 104 includes a tissue-penetrating wire 116 disposed in a lumen 114 of the catheter shaft 100. The tissue-penetrating wire 116 includes a proximal end 118, manipulable through the proximal end 110 of the catheter shaft 100, and a sharp distal end 120 projectable from the distal end 112 of the catheter shaft 100. The tissue-penetrating wire 116 may, for example, be disposed in the lumen 114 of the catheter shaft 100 much as a trocar is disposed in a cannula. Under guidance provided by the locator 160 (discussed below), pressure is applied to the proximal end of the tissue-penetrating wire 116, urging the wire 116 into and through the occlusion as the catheter shaft 100 and steering member 122 are manipulated to direct the wire 116.

Referring again to Fig. 2 and now also to Fig. 4, the locator 160 includes an imaging device 168 (in this embodiment, an acoustic transducer 170), an imaging tube 162 for placing the imaging device 168 extraluminally proximate the occlusion 62, and one or more external imaging instruments (not shown) operatively coupled to the imaging device 168 for discerning the spatial

interrelationships of the working element 102, occlusion 62, arterial lumen 71 and arterial wall 72. Optionally, the imaging tube 162 has an exterior surface 172 which forms one or more suction cups 174 for stabilizing the imaging tube 162 on a surface proximate the occluded artery 60. Also optionally, the imaging tube 162 has a suction cup activator 176 for selectively activating the suction cup 174. As illustrated in Fig. 4, the activator 176 includes a lumen 178 having a distal end 180 communicating with a suction cup 174 and a proximal end 182 communicating with a pressure-modulating device (not shown). The activator 176 may, however, encompass an aspirator, a mechanical means of activating the suction cup 174, or any other convenient way of establishing and interrupting a vacuum to temporarily stabilize a surface of the imaging tube 162 upon a surface proximate the artery 60 and occlusion 62. Generally, the suction cup may take the form of any other suction-coupling area or feature, defined by a surface 172 of the imaging tube 162, which affords adhesion to a surface.

Continuing with reference to Fig. 4, it will be appreciated that the imaging tube 162 is flexible, enabling the distal end zone 186 of the imaging tube 162 to be secured adjacent a beating heart while the proximal end zone 164 of the imaging tube 162 remains connected to external instruments (not shown) for support and control. The flexibility of the imaging tube 162 contributes to its micro-invasive quality by reducing the trauma inflicted upon tissues and by permitting the tube 162 to conform to the natural contours of bodily surfaces. As alternative ways of reducing trauma and increasing the ease of use, the imaging tube 162 may be given a shape well suited to the route of entry into the chest, or may be stabilized or flexibly supported by external apparatus at its proximal end 188.

Continuing still with reference to Fig. 4, the imaging tube 162 includes a proximal end 188, a lumen 190 originating in the proximal end 188, and a motor assembly (not shown) proximate the proximal end 188. A transducer control shaft 194, rotatably and translatable disposed in the lumen 190, includes a proximal end 196 coupled to the motor assembly (not shown), a distal end 198 coupled to the transducer 170, and a signal conducting path 200 operatively

coupling the transducer 170 to the external imaging instruments (not shown). The transducer control shaft 194 is flexible enough to bend with the imaging tube 162. In this embodiment, the external imaging instruments (not shown) include an acoustic signal generator-processor (not shown) and video display device controlled by a suitably programmed general purpose computer.

Referring to Figs. 2 and 4, the locator 160 in this exemplary embodiment provides a scanning ultrasound image of the environment of the occlusion 62. The imaging tube 162 is stabilized on the heart adjacent the artery 60 containing the occlusion 62. The motor assembly (not shown) drives the transducer control shaft 194 within the lumen 190 of the imaging tube 162 in a scanning pattern appropriate for producing an image. For example, the motor assembly (not shown) may drive the transducer control shaft 194 in a repeating reciprocating pattern while at the same time rotating the shaft. In this way, the transducer 170, which is coupled to the transducer control shaft 194, describes a two-dimensional scanning pattern which may be registered by appropriate measuring devices as combinations of a rotational angle  $\theta$  and a longitudinal position  $Z$  within the imaging tube 162.

Continuing still with reference to Figs. 2 and 4, as the transducer 170 describes the scanning pattern, the acoustic signal generator-processor (not shown) causes the transducer 170 to emit acoustic energy. A signal conducting path 200 carries an electric signal from the external instruments (not shown) (which include, in this illustration, a signal generator-processor, also not shown) to the transducer 170, which may include a piezoelectric crystal or other device for producing acoustic energy. This acoustic energy is of the type referred to as ultrasonic or ultrasound, although these terms may encompass a variety of acoustical signals embodying a variety of frequencies. The energy passes through the surface 172 of the imaging tube 162 and into the occluded artery 60 and surrounding tissues. The transducer 170 and acoustic signal are configured such that the energy is emitted in a narrowly focused beam 202 in a known direction (at a known value of the angle  $\theta$ ) from a known position (at a known value of  $Z$ ) with respect to the imaging tube 162. The transducer 107 also

functions as a similarly directional acoustic signal detector, converting acoustic energy reflected by features in the environment of the imaging tube 162 to a signal which is conducted back to the signal generator-processor and measured accordingly. As are the emitted signals, the detected signals are associated with values of  $\theta$  and  $Z$ .

Continuing still with reference to Figs. 2 and 4, a third dimension, which shall be referred to as depth or as radius from the transducer 170 and given the letter  $r$ , is computable as a function of the time elapsed between the emission of a given signal by the transducer 170 and the detection of the echo of that signal. The value detected at any given time is a function of the intensity of the echo. With appropriate signal processing, this intensity can be reported via suitable video equipment as a two or three dimensional image of the environment of the imaging tube 162. General purpose computers are programmable to accomplish this function. United States Patent No. 4,794,931, the disclosure of which is incorporated herein by reference in its entirety, describes a computer and instrument system implementing such a function.

Alternatively, a rotating or translating scanning transducer may be supplanted by an array of directional transducers (not shown), a phased array of transducers (not shown) or other appropriately energized and interrogated set of transducers operatively connected to the external signal generator-processor for displaying the desired image.

Referring to Figs. 2, 3, and 4, the locator 160 provides an image of nearby anatomical features so that the position of the locator 160 with respect to the arterial wall 72 and lumen 71 and occlusion 62 is ascertained. The locator 160 is manipulated until its position is ideal for imaging the penetration of the occlusion 62. The locator 160 is then stabilized. Optionally, the imaging tube 162 includes an exterior surface 172 having one or more suction cups 174 for stabilizing the imaging tube 162 on tissues near the occluded artery 60. With the locator 160 positioned and functioning, the positions of the distal end 112 of the catheter shaft 100 and the distal end 120 of the working element 102 are

ascertained. The contours of the occlusion 62 and the artery 60, as revealed by the locator 160, are also evaluated.

Continuing with reference to Figs. 2, 3 and 4, it is seen that the catheter shaft 100 and locator 160 are placed proximate the occlusion 62. With the  
5 locator 160 positioned and functioning, the catheter shaft 100 and steering member 122 are manipulated to direct the working element 102 and the catheter shaft 100 at a point of entry (not shown) into the occlusion 62. The point of entry will have been identified in the image provided by the locator 160. The image provided by the locator 160 is also studied to plan an appropriate path  
10 through the occlusion 62. The working element 102 is then steered and advanced along that planned path under continuous observation via the locator 160. While control of the working element 102 and catheter shaft 100 is maintained via the steering member, the working element 102 and catheter shaft 100 are urged and steered through the occlusion 62 until the working element  
15 102 is observed to re-emerge from the occlusion 62 into the arterial lumen 71.

Continuing with reference to Figs. 2, 3 and 4, as the working element 102 and catheter shaft 100 are advanced, their positions with respect to the occlusion 62 and arterial wall 72 are carefully noted from the image provided by the locator 160. The steering member 122 is manipulated to direct the working  
20 element 102 away from any contact perceived as likely to perforate or severely dissect the artery 60. When the distal end 120 of the working element 102 reaches the distal boundary 63 of the occlusion 62, a path will have been created through the occlusion 62. The interventionist may successfully cross the occlusion 62 with a guide wire and follow up with DCA or PTCA or install a stent.

Referring again to Fig. 2, it is seen that the catheter shaft 100 and the  
25 locator 160 of the present invention cooperate to enable the operator to guide the working element 102 into and through the occlusion 62 while knowing and maintaining control of the anatomical location and orientation of the catheter shaft 100 and working element 102. Thus, the occlusion 62 can be crossed  
30 while avoiding perforation, severe dissection or other unintended trauma to the artery 60. After the occlusion 62 has been crossed, the suction cups 174 may be

released, the apparatus withdrawn from the patient, and the incisions closed. Importantly, the micro-invasive locator 160 provides the necessary spatial information for guidance of the working element 102 while completely avoiding the gross trauma inflicted by traditional bypass operations.

5 Referring again to Fig. 3, an exemplary embodiment of the present invention is shown including the above-described locator 160, catheter shaft 100, lumen 114, steering member 122, and tissue-penetrating wire 116. A metal nose cone 134 is included in the distal end 112 of the catheter shaft 100 and defines a distal orifice through which the tissue-penetrating wire 116 can project  
10 from the lumen 114. As the tissue-penetrating wire 116 is urged through tissues, the catheter shaft 100 can be steered via the steering member 122 and urged into the tissues along the path made by the wire 116. As the catheter shaft 100 follows the wire 116 through the occlusion 62, the nose cone 134 reduces the resistance encountered by the catheter shaft 100. Penetration of the occlusion  
15 62 is observed via the locator (not shown).

Referring again to Fig. 2 and now also to Fig. 5, an exemplary embodiment of the present invention is shown including the above-described locator 160, catheter shaft 100, lumen 114, steering member 122, and tissue-penetrating wire 116 (other work elements may be used, as will be described  
20 below). The distal end zone 104 of the catheter shaft 100 also includes a plurality of rings 140. The rings 140 define paths 141 for the steering wires 124 (described above) of the steering member 122. One or more of the rings 140 may serve to anchor the distal ends 128 of the steering wires 124. The distal end zone 104 of the catheter shaft 100 also includes a plurality of slots 142  
25 inscribed therein for increasing the steerability of the distal end zone 104.

Continuing with reference to Fig. 5, unequal tension on the steering wires 124 will deflect the distal end zone 104 and the working element 102 toward a wire having greater tension. The slots 142 in the distal end zone 104 of the catheter shaft 100 reduce the force required to compress one side of the  
30 distal end zone 104 and extend the opposite side. A steering wire 124 can thus more easily deflect the distal end zone 104. Because the slots 142 only partially

circumscribe the distal end zone 104 of the catheter shaft 100, they do not appreciably reduce its axial stiffness. As a result, the distal end 112 of the catheter shaft may still be pushed firmly against a tissue surface at a point where the working element 102 is intended to enter.

5 Referring again to Fig. 2 and now also to Fig. 6, an exemplary embodiment of the present invention is shown including the above-described locator 160, catheter shaft 100, lumen 114 and steering member 122. The working element 102 includes an inner shaft 144, rotatably disposed in the lumen 114 of the catheter shaft 100, having a proximal end 146 drivenly  
10 coupled to an external motor (not shown) proximate the proximal end 110 of the catheter shaft 100. The inner shaft 144 also includes a sharp pointed distal end 150 projecting from the distal end 112 of the catheter shaft 100, a nose cone 152 proximal to the sharp pointed distal end 150, and an abrasive coating 154 disposed on the nose cone 152 for boring into tissues.

15 Continuing with reference to Fig. 6, after the locator (not shown) is activated to provide an image and the steering wires 124 and catheter shaft 100 are manipulated to urge the working element 102 at a selected point of entry (not shown) into the occlusion 62, the external drive motor (not shown) is activated, rotating the inner shaft 144 and nose cone 152. As the sharp pointed  
20 distal end 150 of the inner shaft 144 advances through the tissues (not shown), the abrasive coating 154 of the nose cone 152 grinds away tissue to open an enlarged path for the catheter shaft 100 to follow. By removing tissue, the abrasive nose cone 152 reduces the resistance of the tissues to the catheter shaft 100 and enlarges the path created through the occlusion 62.

25 Referring now to Fig. 7, an exemplary embodiment of the micro-invasive catheter apparatus is shown in which the catheter shaft 100 includes the above-described steering member 122, a proximal end 110, a distal end 112, a lumen 115 originating in the distal end, and a working element 102 disposed in the lumen 115. The working element 102 includes an inner shaft 230, slidably  
30 disposed in the lumen 115, having a distal end zone 232 projecting from the distal end 112 of the catheter shaft 100, a sharp pointed distal end 234 for

penetrating the occlusion 62, and a nose cone 236 proximal to the sharp pointed distal end 234. The nose cone 236 has a proximal end 238. The inner shaft 230 projects from the catheter shaft 100 so that a gap exists between the distal end 112 of the catheter shaft 100 and the proximal end 238 of the nose cone 236. A plurality of dissecting wires 240 span the gap. The dissecting wires 240 have a proximal end 242 fixed in the distal end zone 104 of the catheter shaft 100, a distal end 244 fixed in the proximal end 238 of the nose cone 236, and a medial portion 246 therebetween.

Continuing with reference to Fig. 7 and now also with reference to Fig. 8, as the catheter shaft 100 is urged through an occlusion (not shown), the nose cone 236 of the inner shaft 230 will encounter resistance and the inner shaft 230 will tend to slide backward into the lumen 115. As this sliding movement narrows the gap spanned by the dissecting wires 240, the medial portion 246 of each dissecting wire 240 will be forced to bow outward. As the bowed dissecting wires 240 pass through the tissues of the occlusion (not shown), they blunt-dissect the tissues, leaving behind an enlarged passage. The greater the resistance offered by the tissue, the greater the lateral pressure exerted by the dissecting wires 240 upon the tissues.

Referring back to Fig. 2 and now particularly to Figs. 9 and 10, an exemplary embodiment of the present invention is shown in which the imaging tube 162 of the locator 160 includes an elastomeric flared portion 173 having an exterior surface 172 defining a plurality of suction cups 174. The elastomeric flared portion 173 can be rolled around the imaging tube 162 to reduce the profile of the imaging tube 162 for insertion into the patient. The suction cups 174 are arrayed in two roughly parallel rows 204. Between the rows 204 is a region of the surface defining an imaging window 206. In the exemplary embodiment illustrated in Fig. 10, the imaging window 206 includes an acoustically transparent portion of the imaging tube 162 adjacent the lumen 190. As can be seen in Fig. 10, the transducer 170 has a view through the window 206 unobstructed by the suction cups 174 (alternatively, the imaging window 206 may be located on a portion of the surface 172 of the imaging tube 162



which also defines a single enlarged suction area). The imaging tube 162 optionally includes a suction cup activating lumen 178 having a distal end zone 180 communicating with the suction cups 174 and a proximal end 182 coupled with a pressure modulating device (not shown). The lumen 178 and pressure modulating device permit rapid, minimally traumatic temporary stabilization of the imaging tube 160 on the heart surface.

Referring back to Fig. 2 and now also to Fig. 11, an exemplary embodiment of the present invention is shown including the above-described locator 160, catheter shaft 100, lumen 114 and steering member 122. In this embodiment, the working element includes a tissue-penetrating working element 102 having a distal end 260. A signal emitter 262 is disposed in the distal end 260. A signal generator (not shown) is operatively coupled to the signal emitter 262. In this embodiment, the signal generator is external to the body and is coupled to the emitter through an electrically conductive path 266 originating in the proximal end zone 106 of the catheter shaft 100 and terminating at the emitter 262. As illustrated, the electrically conductive path 266 includes an outer conductor 268 disposed in the catheter shaft 100, a tubular dielectric layer 270 therein, and an inner conductor 272 disposed within the dielectric layer 270. However, any other energy-delivering or converting means can be employed to energize the emitter 262. When the locator 160 and emitter 262 are activated within the body, the locator 160 selectively detects the signal emitted by the emitter 262 in order to discern a spatial relationship between the working element 102 and the locator 160. Alternatively, the signal emitter 262 and the associated conductive path 266 may be disposed in the distal end of a guide wire (not shown).

Alternatively, the signal emitter 262 may be disposed in a working element which is essentially a guide wire, optionally steerable. Likewise, the catheter shaft may be of a simpler design than the one shown in Fig. 11; in particular, a catheter shaft without a steering member, and a signal-emitting guide wire distal end not surrounded by a separate catheter shaft, are both within the scope of the present invention.

While the foregoing detailed description has described several embodiments of the invention, it is to be understood that the above description is illustrative only and not limiting of the disclosed invention. Particularly, the imaging device need not be an acoustic transducer and need not accomplish its imaging by scanning or mechanical movement in any particular manner. The imaging device may be operatively coupled to external instruments by any appropriate mechanical, electromagnetic, optical, wave guide or other path. The image that is displayed may be computed by any of a variety of algorithms for extracting one-, two-, or three-dimensional information from energy reflected, scattered or absorbed within tissues. The imaging tube may be stabilized proximate the occlusion 62 by any appropriate mechanical, pneumatic, hydraulic or other means. Additionally, the locator 160 need not approach the heart in the particular manner described; alternative routes may be taken.

It will also be noted that, depending on the configuration and support of the working element, either the catheter shaft or the working element or both may be placed in the path created by the working element. Also, either the working element or the catheter shaft may be left in the path so created to serve as a conduit or for some other purpose. The catheter shaft may include a lumen to facilitate blood flow in the bypass. The catheter shaft or work element may include a balloon for stabilization, for interruption of flow, or for other purposes.

Likewise, the steering member may include more or fewer than the two wires illustrated in the drawing figures. The working element 102 may include any mechanical, thermal, optical, chemical or other device for penetrating tissues, treating an occlusion or delivering a medicament. The catheter shaft 100 and working element 102 may be configured such that only the working element 102 traverses certain tissues or, alternatively, the catheter shaft 100 itself may follow along with the working element 102. It will be appreciated that the embodiments discussed above and the virtually infinite embodiments that are not mentioned could easily be within the scope and spirit of the present

invention. Thus, the invention is to be limited only by the claims as set forth below.

CLAIMS

What is claimed is:

1. An apparatus for treating an arterial occlusion, comprising:  
5           an elongated flexible catheter shaft having a distal end zone and an intra  
arterially operable working element disposed in the distal end zone; and  
          an extra-arterially operable locator including an imaging tube and an  
imaging device operatively disposed in the imaging tube,  
          whereby the locator is positioned proximate the arterial occlusion and  
10          guides the working element for effective treatment of the occlusion.
2. An apparatus as set forth in Claim 1, further comprising a steering  
member disposed in the distal end zone of the catheter shaft, the steering  
member being steeringly coupled to the working element.
3. An apparatus as set forth in Claim 2, wherein:  
15           the steering member includes at least one steering wire, disposed in the  
catheter shaft, having a distal end zone, the distal end zone of the steering wire  
having at least one displacing linkage with the distal end zone of the catheter  
shaft; and  
          the working element has at least one deflecting linkage to the catheter  
20          shaft,  
          whereby a displacement of a steering wire displaces the distal end zone  
of the catheter shaft and thereby deflects the working element to direct the  
working element at the occlusion.
4. An apparatus as set forth in Claim 2, wherein:  
25           the steering member includes at least one steering wire, disposed in the  
catheter shaft, having a distal end zone, the distal end zone of the steering wire  
having at least one displacing linkage with the working element; and  
          the working element has at least one deflecting linkage to the steering  
wire,  
30          whereby a displacement of a steering wire deflects the working element  
to direct the working element at the occlusion.

5. An apparatus as set forth in Claim 3, wherein at least one tube is disposed in the catheter shaft and the steering wire is disposed within the tube.
6. An apparatus as set forth in Claim 3, wherein a ring is disposed in the distal end zone of the catheter shaft and the steering wire is affixed to the ring.
- 5 7. An apparatus as set forth in Claim 1, wherein the working element includes an occlusion-crossing wire, slidably disposed in the catheter shaft, the occlusion-crossing wire including a distal end capable of advancement distally from the distal end portion of the shaft.
8. An apparatus as set forth in Claim 7, wherein the occlusion-crossing  
10 wire includes a sharpened distal end and is slidably disposed in the catheter shaft, whereby the distal end of the occlusion-crossing wire is capable of advancement distally from the distal end portion of the shaft.
9. An apparatus as set forth in Claim 1, wherein the distal end of the working element includes a trocar tip.
- 15 10. An apparatus as set forth in Claim 1, wherein the catheter shaft includes:  
a lumen communicating with the distal end zone of the catheter shaft;  
a drive shaft rotatably disposed in a lumen of the catheter shaft, the drive shaft including a distal end disposed in the distal end zone of the catheter shaft;  
and  
20 a nose cone disposed in the distal end zone of the catheter shaft and drivably coupled to the distal end of the drive shaft, the nose cone including an abrasive surface,  
whereby the nose cone is rotatable to abrade tissue while the locator images the nose cone.
- 25 11. An apparatus as set forth in Claim 1, wherein the catheter shaft includes:  
a longitudinal axis, an external surface, and at least one lumen communicating with the distal end zone of the catheter shaft;  
an inner shaft, slidably disposed within a lumen of the catheter shaft, the inner shaft having a distal end and a distal end zone projecting from the distal  
30 end of the catheter shaft;

at least one flexible wire, having a proximal end fixed in the distal end zone of the catheter shaft, a distal end fixed in the distal end zone of the inner shaft, and a mid portion therebetween,

5 such that displacement of the inner shaft in the proximal direction with respect to the catheter shaft urges the mid portion of the flexible wire to bow laterally away from the longitudinal axis of the catheter shaft and displacement of the inner shaft in the distal direction with respect to the catheter shaft tends to straighten the flexible wire,

10 whereby longitudinal displacement of the inner shaft relative to the catheter shaft actuates the flexible wire to exert a lateral force.

12. An apparatus as set forth in Claim 11, wherein the flexible wire has a first position in which the wire is substantially not bowed laterally away from the longitudinal axis of the catheter shaft and a second position in which the wire is substantially bowed away from the longitudinal axis of the catheter shaft; and

15 wherein advancement of the catheter shaft while the distal end of the inner shaft encounters mechanical resistance urges the flexible wire from the first position to the second position.

13. An apparatus as set forth in Claim 11, wherein the flexible wire has a first position in which the wire is substantially not bowed laterally away from the longitudinal axis of the catheter shaft and a second position in which the wire is substantially bowed away from the longitudinal axis of the catheter shaft:

the catheter shaft has a proximal end zone;

25 the inner shaft has a proximal end retractably manipulable via the proximal end zone of the catheter shaft

and retraction of the inner shaft with respect to the catheter shaft urges the flexible wire from the first position to the second position.

14. An apparatus as set forth in Claim 1 wherein the distal end zone of the catheter shaft includes an outer surface and the outer surface defines a plurality of slots partially circumscribing the catheter shaft, whereby flexibility is

30

imparted to the distal end zone of the catheter shaft without increasing its axial compressibility.

15. An apparatus as set forth in Claim 1 wherein the imaging device includes at least one energy transducer and the locator includes a signal generator-processor operatively coupled to the energy transducer.

16. An apparatus as set forth in Claim 15, wherein:  
the imaging tube has a proximal end zone and a lumen;  
a transducer control shaft is disposed in the lumen of the imaging tube, the transducer control shaft having a proximal end zone and a signal conducting path, the signal conducting path being operatively coupled to the signal generator-processor via the proximal end zone;

the locator includes a transducer driver operatively coupled to the proximal end zone of the transducer control shaft; and

the transducer is movably disposed in the lumen, manipulably attached to the transducer control shaft, and operatively coupled to the signal conducting path,

whereby the transducer control shaft driver and the signal generator-processor cooperate with the transducer control shaft and the transducer to provide a scanning image.

17. An apparatus as set forth in Claim 16, wherein the transducer control shaft is rotatably disposed in the imaging tube lumen and rotationally driven by the transducer driver.

18. An apparatus as set forth in Claim 1, wherein the locator includes means for stabilizing the locator with respect to a surface located within a body.

19. An apparatus as set forth in Claim 1, wherein the imaging tube has an exterior surface defining at least one suction coupling area, whereby the imaging tube is removably adherent to bodily tissues to stabilize the locator.

20. An apparatus as set forth in Claim 19, wherein the exterior surface of the imaging tube defines an imaging window and a plurality of suction coupling areas disposed peripherally about the window.

21. An apparatus as set forth in Claim 19, wherein the locator includes means for selectively activating the suction coupling area.

22. An apparatus as set forth in Claim 19, wherein the locator includes a pressure modulating device and at least one pressure communicating path  
5 coupling a suction coupling area to the pressure modulating device, whereby the suction coupling area is selectively activated by the pressure modulating device.

23. An apparatus as set forth in Claim 19, wherein the locator includes a pressure modulating device and at least one pressure communicating path  
10 coupling a suction coupling area to the pressure modulating device, whereby the suction coupling area is selectively activated by the pressure modulating device.

24. An apparatus as set forth in Claim 15, wherein the locator includes at least one acoustic transducer, an acoustic signal generator-processor, and at least one signal conducting path for coupling the transducer to the generator-  
15 processor,

whereby the working element is operated while the locator provides an acoustically-derived data output embodying the anatomical location and orientation of the working element.

25. An apparatus as set forth in Claim 15, wherein the locator acquires and  
20 displays an image of the occlusion and of the working element.

26. An apparatus as set forth in Claim 15 wherein the signal generator-processor correlates reflected acoustical energy with manipulations of the transducer by the driver,

whereby the transducer is physically manipulated within the imaging  
25 tube while the signal generator-processor generates an output signal embodying spatially organized data about objects proximate the working element.

27. An apparatus as set forth in Claim 15 wherein the transducer is rotatable and translatable by the transducer control shaft driver via the transducer control shaft,

30 whereby the transducer, driver, and signal generator-processor cooperate to scanningly emit and receive acoustic energy and to generate an output signal



embodying the anatomical location and orientation of the working element while the working element is operated.

28. An apparatus as set forth in Claim 15 wherein the transducer includes a plurality of acoustic transducers,

5           whereby the transducers and signal generator-processor cooperate to emit and receive acoustic energy and to generate an output signal embodying the anatomical location and orientation of the working element while the working element is operated.

10           29. An apparatus as set forth in Claim 1 wherein the working element emits a signal and the locator detects the signal emitted by the working element, whereby the anatomical location and orientation of the working element are discerned while the working element is operated.

15           30. An apparatus as set forth in Claim 1 wherein the imaging tube includes a suction lumen, at least one imaging window, and an exterior surface defining at least one suction area including an imaging window, the suction lumen communicating with the suction area.

31. An apparatus as set forth in Claim 16, wherein a portion of the imaging tube is flexible.

20           32. An apparatus as set forth in Claim 14, wherein the catheter shaft further comprises a steering member disposed in the distal end zone of the catheter shaft, the steering member being steeringly coupled to the working element, the steering member including at least one steering wire, the steering wire disposed in the catheter shaft and having a distal end zone, the distal end zone of the steering wire having at least one displacing linkage with the working element;  
25           and

            the catheter shaft has a longitudinal axis and the longitudinal axis is circumscribed by a plurality of rings disposed the distal end zone of the catheter shaft, the rings defining a path for a steering wire.

30           33. A method for treating an arterial occlusion in a human or animal body, comprising the steps of:

providing an apparatus for treating an arterial occlusion, the apparatus comprising:

an elongated flexible catheter shaft having a distal end zone and an intra-arterially operable working element disposed in the distal end zone; and

5 an extraluminally operable locator including an imaging tube and an imaging device operatively disposed in the imaging tube;

introducing the catheter shaft into the arterial system and placing the distal end of the catheter shaft in the lumen of a coronary artery proximate an occlusion;

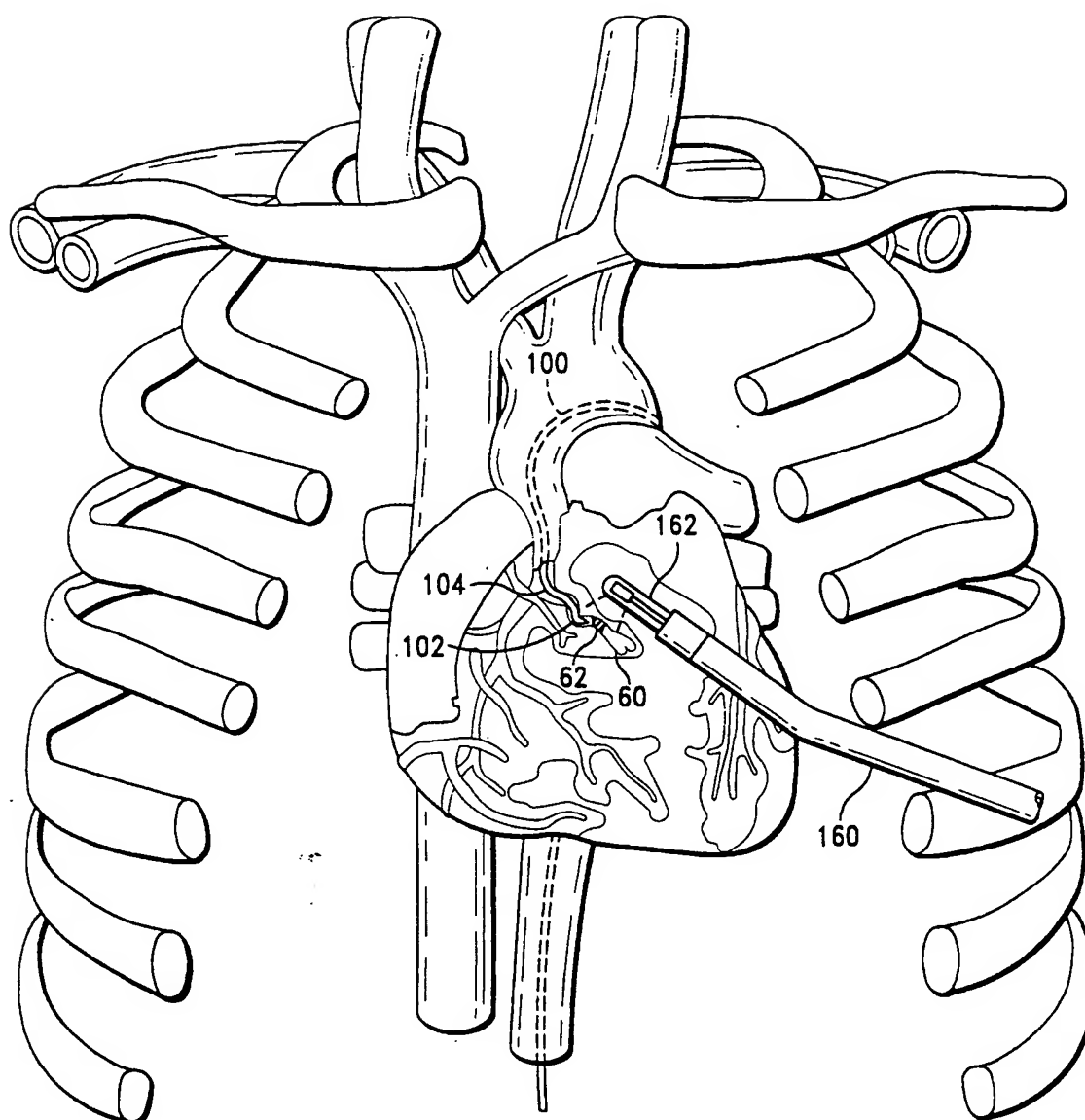
10 introducing the locator into the chest cavity, placing the distal end of the locator adjacent the artery proximate the occlusion, and activating the locator;

operating the working element of the catheter shaft to cross the occlusion while observing the spatial relationships of the working element, the occlusion and the surrounding tissues,

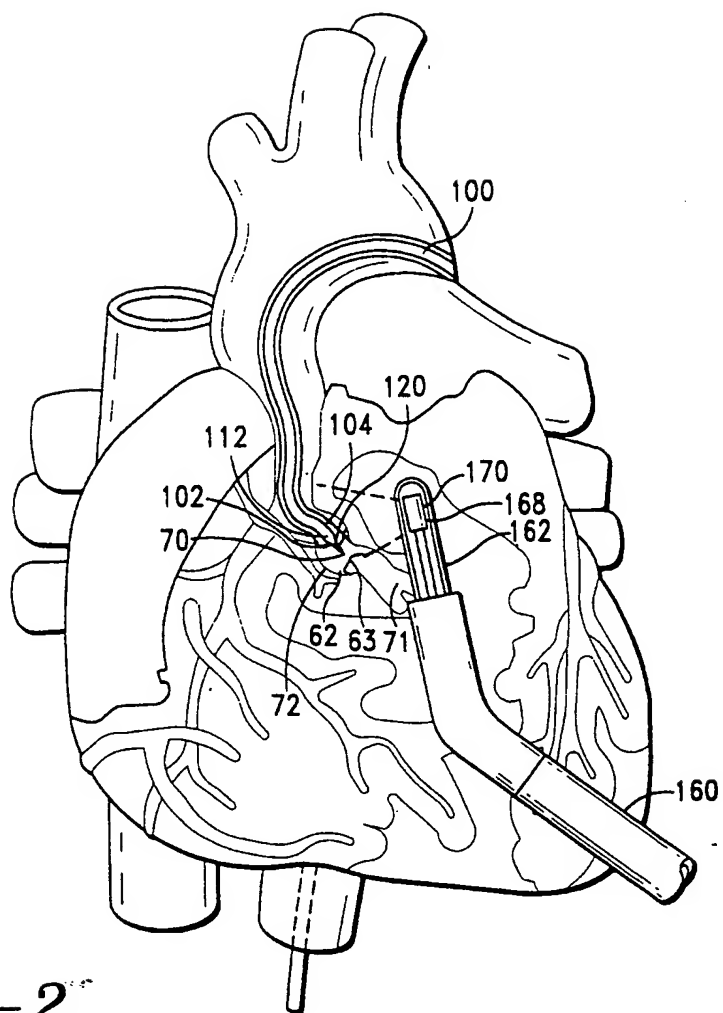
15 whereby the locator, catheter shaft and working element are positioned proximate the occlusion and the working element is operated to cross the occlusion, while the locator reveals the anatomical location and orientation of the working element to accomplish the effective manipulation of the working element.

20 34. A method as set forth in Claim 33, wherein the catheter shaft further comprises a steering member disposed in the distal end zone of the catheter shaft, the steering member being steeringly coupled to the working element; and

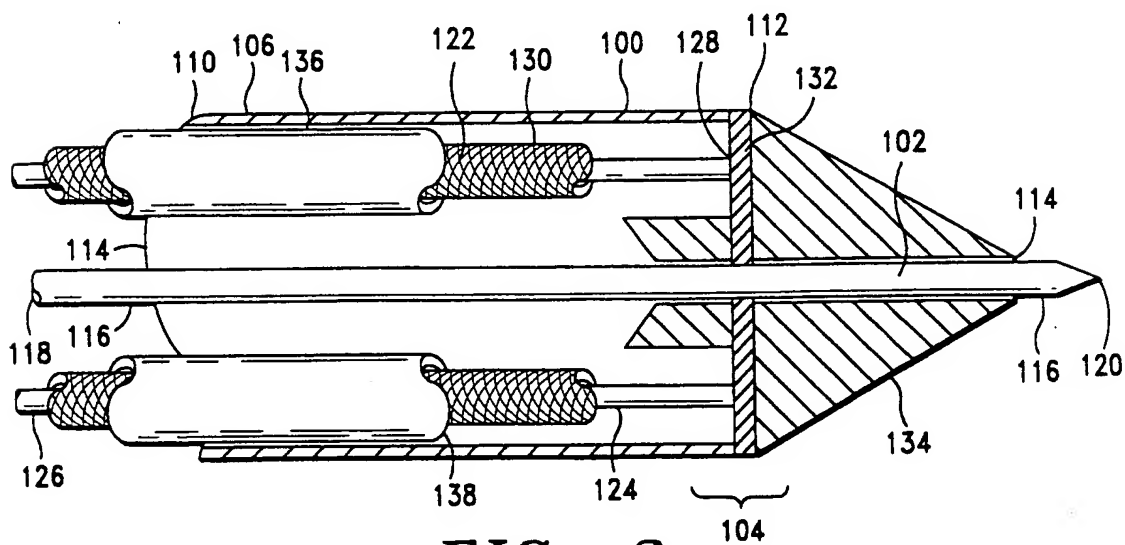
the method comprises the step, after introducing the catheter shaft into the arterial system, of operating the steering member to steer the working  
25 element.



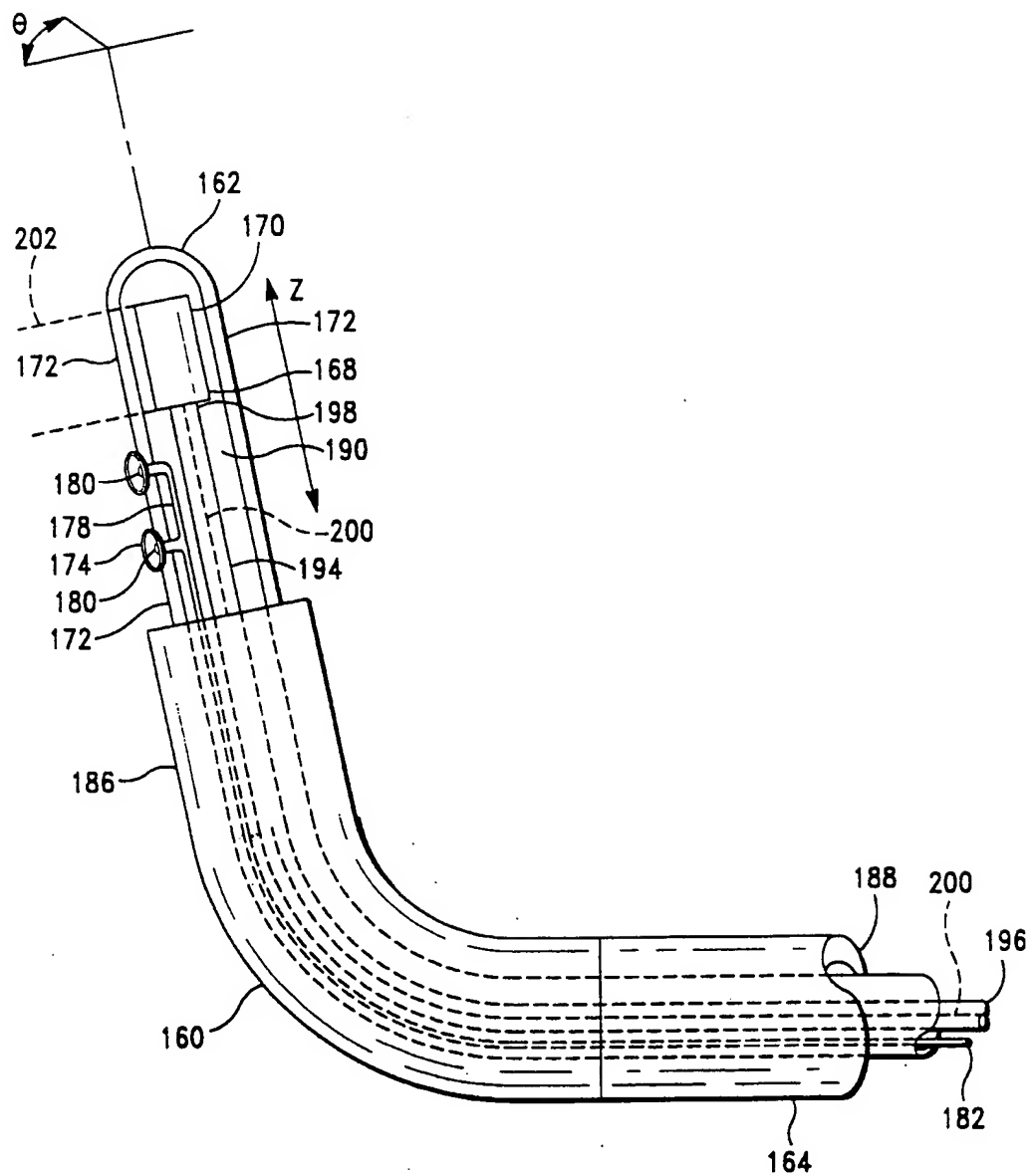
*FIG.-1*



*FIG. -2*



*FIG. -3*

*FIG.-4*

4/7

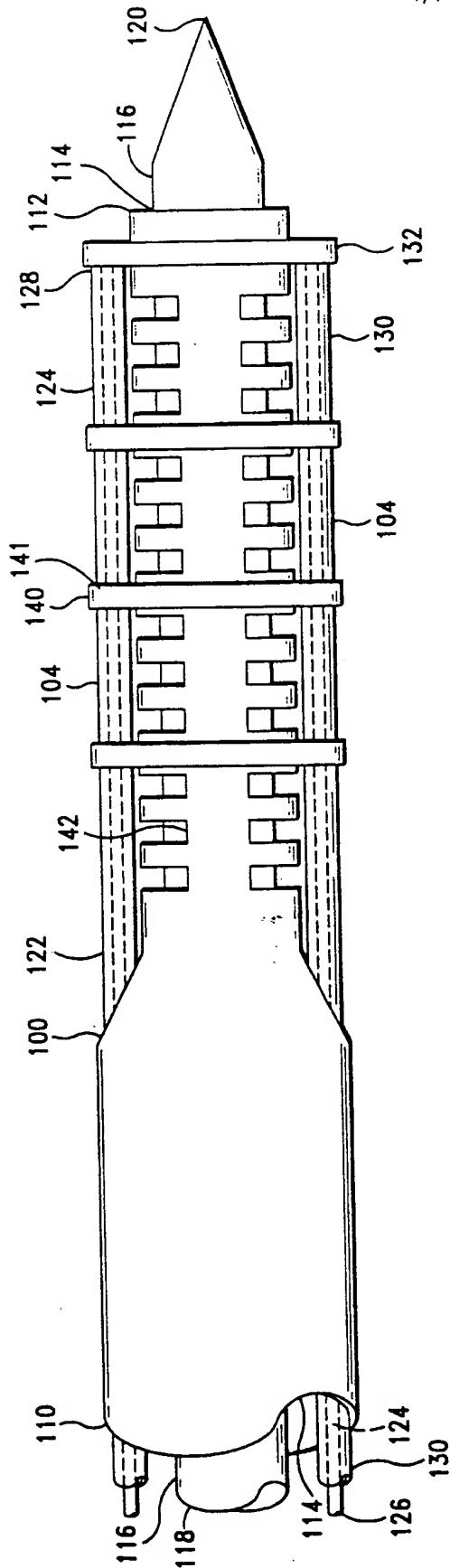


FIG. -5

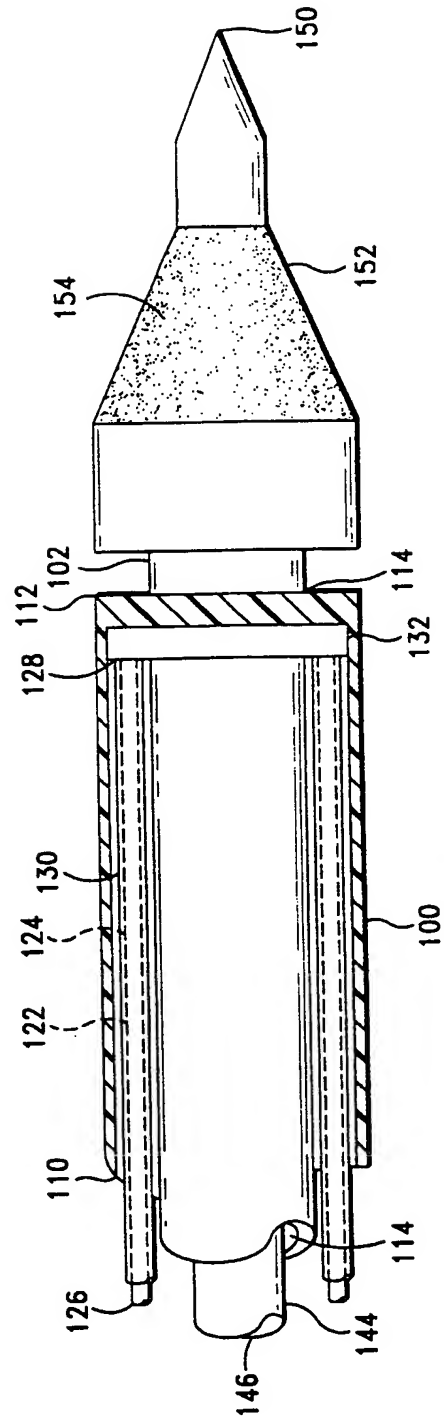


FIG. -6

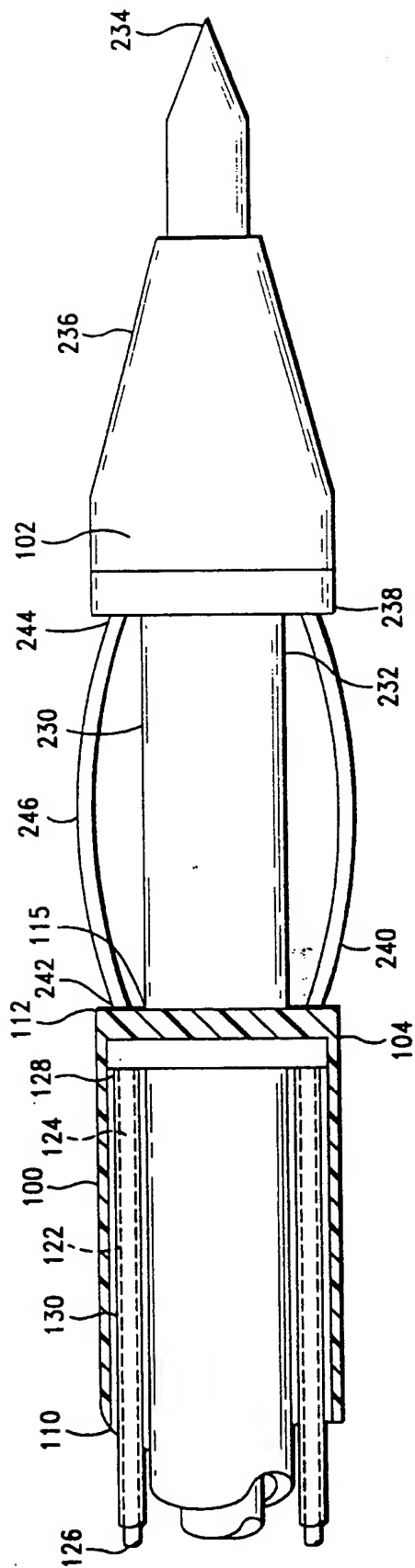


FIG. 7

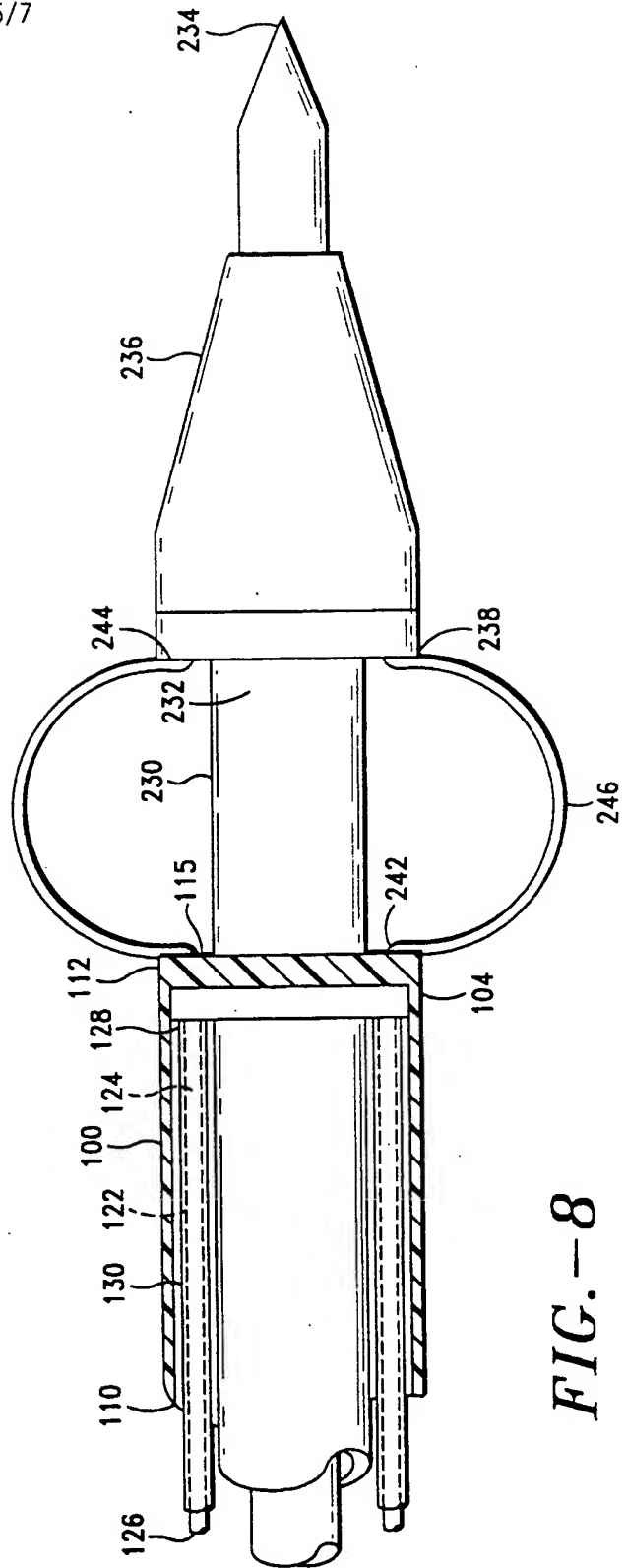
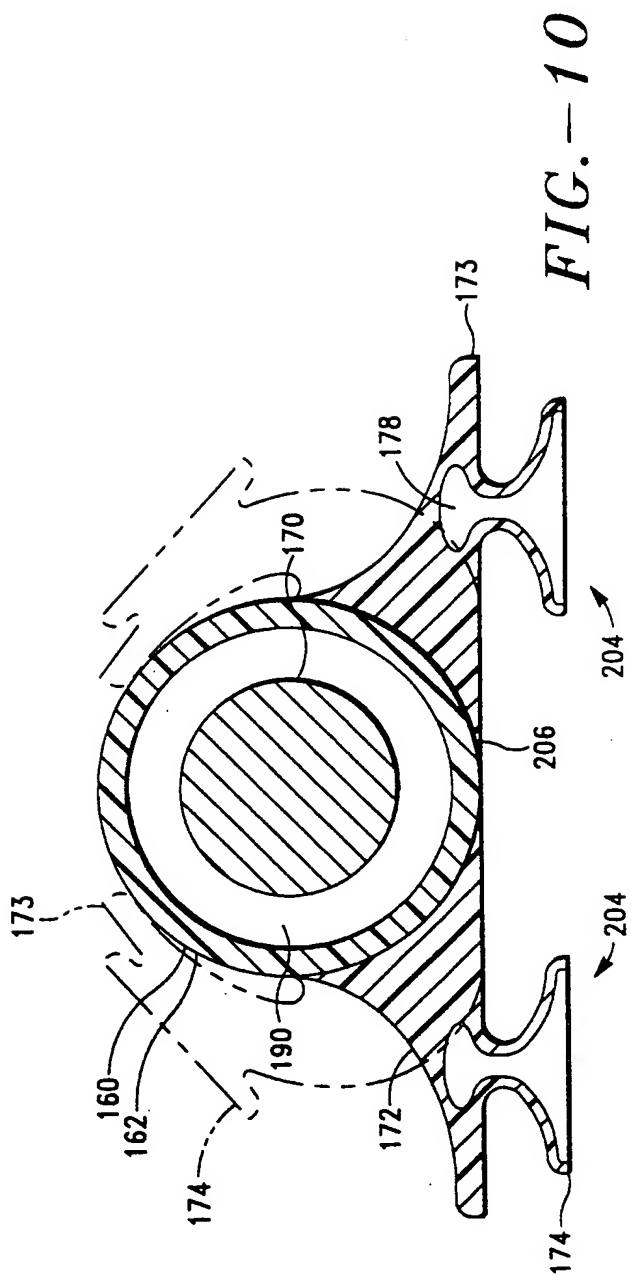
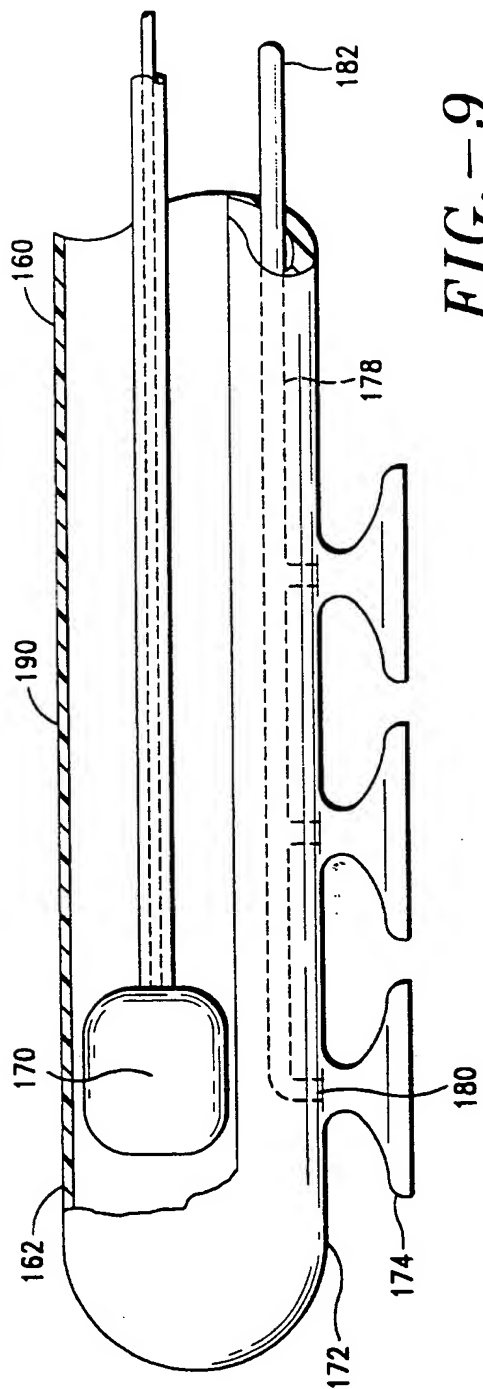


FIG. 8





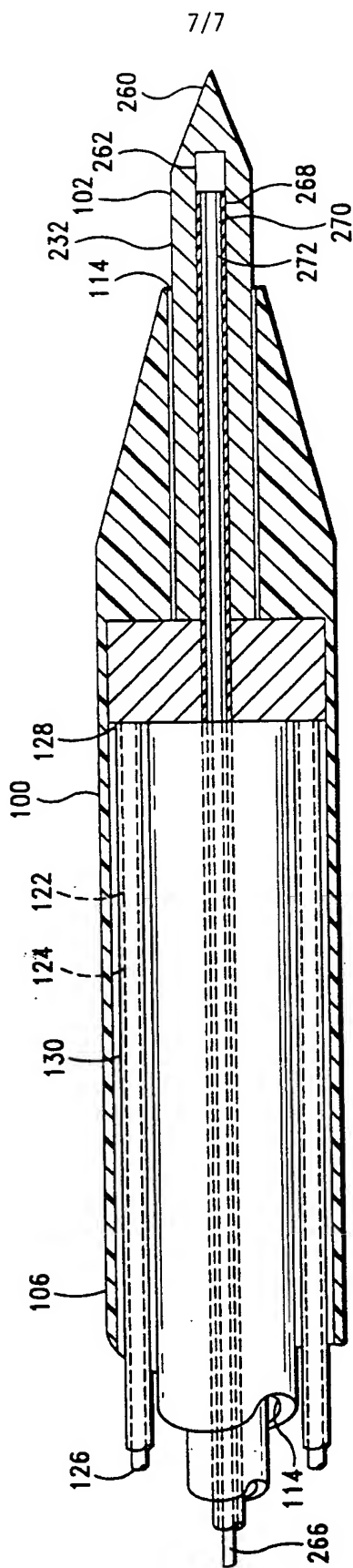


FIG.-11

# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US 98/26932

<b>A. CLASSIFICATION OF SUBJECT MATTER</b> IPC 6 A61B17/22 A61B8/12		
According to International Patent Classification (IPC) or to both national classification and IPC		
<b>B. FIELDS SEARCHED</b> Minimum documentation searched (classification system followed by classification symbols) IPC 6 A61B		
Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched		
Electronic data base consulted during the international search (name of data base and, where practical, search terms used)		
<b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	WO 97 13463 A (TRANSVASCULAR) 17 April 1997	1-9, 14-18, 24-29, 31,32 10-13, 19-23,30
Y	see page 46, line 30 - page 47, line 4; figure 5B see page 62, line 36 - page 63, line 21; figure 6G	
Y	--- US 5 569 276 A (JANG ET AL.) 29 October 1996 see column 5, line 13 - line 47 see column 10, line 45 - column 11, line 13; figure 1 --- -/--	10
<input checked="" type="checkbox"/> Further documents are listed in the continuation of box C. <input checked="" type="checkbox"/> Patent family members are listed in annex.		
* Special categories of cited documents : "A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier document but published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art. "&" document member of the same patent family		
Date of the actual completion of the international search  7 April 1999		Date of mailing of the international search report  16/04/1999
Name and mailing address of the ISA European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo nl, Fax: (+31-70) 340-3016		Authorized officer  Moers, R

# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US 98/26932

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 5 158 564 A (SCHNEPP-PESCH WOLFRAM ET AL) 27 October 1992 see column 5, line 25 - line 68; figures 1-3 ---	11-13
Y	US 5 247 938 A (SCHUFFLER MICHAEL D ET AL) 28 September 1993 see column 3, line 17 - line 41; figures 2-4,8 ---	19-23,30
A	US 5 419 767 A (EGGERS ET AL.) 30 May 1995 see abstract; figure 15 ---	2-6
A	US 5 704 898 A (KOKISH) 6 January 1998 see abstract; figure 5 ---	3-6,32
A	US 5 423 846 A (FISCHELL ROBERT E) 13 June 1995 see abstract; figures 1A,8 ---	7-9
A	EP 0 117 519 A (THEERMANN JOHANNES DIPL ING) 5 September 1984 see abstract; figure 1 ---	11-13
A	US 5 531 677 A (LUNDQUIST ET AL.) 2 July 1996 see abstract; figures 2,3,5,21 ---	14
A	US 5 325 845 A (ADAIR) 5 July 1994 see abstract; figures 1,8 ---	14
A	US 5 000 185 A (YOCK PAUL G) 19 March 1991 see column 11, line 11 - column 12, line 10; figure 11 ---	15-17, 24-28,31
A	US 4 355 643 A (LAUGHLIN ET AL.) 26 October 1982 see abstract; figures 1,2 ---	19-23,30
A	US 5 607 421 A (SMITH CRAIG R ET AL) 4 March 1997 see column 5, line 5 - line 10; figure 2B -----	19-23,30

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US 98/26932

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☒ Claims Nos.: 33, 34  
because they relate to subject matter not required to be searched by this Authority, namely:  
Rule 39.1 (iv) PCT- Method for treatment of the human or animal body by surgery
2. ☐ Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 98/26932

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
WO 9713463	A	17-04-1997	AU 7431696 A	30-04-1997
			AU 7595396 A	30-04-1997
			CA 2234361 A	17-04-1997
			CA 2234389 A	17-04-1997
			WO 9713471 A	17-04-1997
			AU 1847197 A	22-08-1997
			AU 1847297 A	22-08-1997
			AU 1847397 A	22-08-1997
			CA 2244066 A	07-08-1997
			CA 2244079 A	07-08-1997
			CA 2244080 A	07-08-1997
			EP 0879068 A	25-11-1998
			WO 9727897 A	07-08-1997
			WO 9727893 A	07-08-1997
			WO 9727898 A	07-08-1997
US 5569276	A	29-10-1996	US 5507292 A	16-04-1996
			US 5402790 A	04-04-1995
			US 5100424 A	31-03-1996
			AT 145124 T	15-11-1996
			CA 2083513 A	22-11-1991
			DE 69123148 D	19-12-1996
			DE 69123148 T	13-03-1997
			EP 0530296 A	10-03-1993
			EP 0739603 A	30-10-1996
			WO 9117711 A	28-11-1995
US 5158564	A	27-10-1992	DE 4004507 A	22-08-1991
			DE 9004074 U	02-05-1991
			AT 134123 T	15-02-1996
			DE 59010138 D	28-03-1996
			EP 0442137 A	21-08-1991
			ES 2085880 T	16-06-1996
US 5247938	A	28-09-1993	NONE	
US 5419767	A	30-05-1995	US 5366443 A	22-11-1994
			AT 173903 T	15-12-1998
			AU 3335793 A	03-08-1993
			CA 2129745 A	08-07-1993
			DE 69227783 D	14-01-1999
			EP 0624076 A	17-11-1994
			EP 0882430 A	09-12-1998
			NZ 246503 A	26-07-1996
			WO 9313816 A	22-07-1993
			US 5681282 A	28-10-1997
			US 5697882 A	16-12-1997
			US 5683366 A	04-11-1997
			US 5810764 A	22-09-1998
			US 5843019 A	01-12-1998
			US 5697536 A	16-12-1997
			US 5860951 A	19-01-1999
			US 5873855 A	23-02-1999
			US 5871469 A	16-02-1999
			US 5697281 A	16-12-1994
US 5704898	A	06-01-1998	WO 9718746 A	29-05-1997

# INTERNATIONAL SEARCH REPORT

Information on patent family members

Internati Application No  
PCT/US 98/26932

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 5423846 A	13-06-1995	US 5263959 A EP 0657140 A	23-11-1993 14-06-1995
EP 0117519 A	05-09-1984	DE 3306213 A DE 3320984 A	23-08-1984 13-12-1984
US 5531677 A	02-07-1996	US 5409453 A US 5370675 A US 5435805 A US 5421819 A US 5385544 A US 5848986 A AU 685086 B AU 6133194 A AU 6189698 A AU 7056594 A CA 2155217 A CN 1119418 A DE 4423228 A DE 9410654 U EP 0667126 A EP 0631514 A FR 2709065 A IL 108532 A JP 8506259 T WO 9417856 A WO 9505124 A US 5454787 A US 5549644 A US 5720719 A US 5667488 A US 5685868 A US 5762626 A US 5807309 A AT 132046 T AU 671405 B AU 2047595 A AU 657235 B AU 4999893 A BR 9306893 A CA 2121032 A,C CA 2226484 A DE 4305663 A DE 69301143 D EP 0611314 A EP 0629382 A EP 0893101 A ES 2084510 T FI 950584 A FR 2694700 A GB 2269538 A,B IL 104647 A JP 7503645 T MX 9304905 A NZ 255687 A WO 9404220 A	25-04-1995 06-12-1994 25-07-1995 06-06-1995 31-01-1995 15-12-1998 15-01-1998 29-08-1994 09-07-1998 14-03-1995 18-08-1994 27-03-1996 23-02-1995 20-10-1994 16-08-1995 04-01-1995 24-02-1995 13-07-1997 09-07-1996 18-08-1994 23-02-1995 03-10-1995 27-08-1996 24-02-1998 16-09-1997 11-11-1997 09-06-1998 15-09-1998 15-01-1996 22-08-1996 10-08-1995 02-03-1995 15-03-1994 08-12-1998 03-03-1994 03-03-1994 17-02-1994 08-02-1996 24-08-1994 21-12-1994 27-01-1999 01-05-1996 04-04-1995 18-02-1994 16-02-1994 31-12-1995 20-04-1995 29-04-1994 20-12-1995 03-03-1994
US 5325845 A	05-07-1994	NONE	

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International application No

PCT/US 98/26932

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 5000185 A	19-03-1991	US 4794931 A	03-01-1989
		US 5313949 A	24-05-1994
		US 5676151 A	14-10-1997
		US 5865178 A	02-02-1999
		US 5651364 A	29-07-1997
		US 5582178 A	10-12-1996
		CA 1296589 A	03-03-1992
		DE 3750268 D	01-09-1994
		DE 3750268 T	23-03-1995
		DK 105187 A	29-08-1987
		EP 0234951 A	02-09-1987
		EP 0600568 A	08-06-1994
		JP 7057222 B	21-06-1995
		JP 62270140 A	24-11-1987
		JP 2763525 B	11-06-1998
		JP 9182753 A	15-07-1997
		JP 2763526 B	11-06-1998
		JP 9182754 A	15-07-1997
		NO 176123 B	31-10-1994
US 4355643 A	26-10-1982	NONE	
US 5607421 A	04-03-1997	US 5807388 A	15-09-1998
		AU 662734 B	14-09-1995
		AU 1523292 A	05-11-1992
		AU 695783 B	20-08-1998
		AU 2712495 A	09-11-1995
		AU 9135298 A	14-01-1999
		CA 2067412 A	02-11-1992
		EP 0515867 A	02-12-1992
		EP 0876795 A	11-11-1998
		JP 6277226 A	04-10-1994
		NZ 242509 A	26-03-1996

**THIS PAGE BLANK (USPTO)**